



COPY OF PAPERS  
ORIGINALLY FILED

BEST AVAILABLE COPY

PTO/SB/21 (6-88)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |                      |                                |
|---|----------------------|--------------------------------|
| <b>TRANSMITTAL<br/>FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number   | 09/965,071                     |
|   | Filing Date          | 09/27/2001                     |
|   | First Named Inventor | Terrance Sick                  |
|   | Group Art Unit       | 2171                           |
|   | Examiner Name        |                                |
| Total Number of Pages in This Submission  | 4+                   | Attorney Docket Number 2000-05 |

RECEIVED  
MAR 29 2002  
Technology Center 2100

| ENCLOSURES (check all that apply)  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group  |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  |
| <input type="checkbox"/> Amendment / Response                                | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)   |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition    | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):   |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer  | See 1 in Addendum  |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> Small Entity Statement   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | Remarks   | Enclosed herewith is the Information Disclosure Statement for the above-referenced application as well as the cited reference (s). |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                                       |
|--|---------------------------------------|
| Firm or Individual name                    | Duane C. Basch; Greenwald & Basch LLP |
| Signature                                  |                                       |
| Date                                       | 3/8/02                                |

| CERTIFICATE OF MAILING  |                |           |        |
|---|----------------|-----------|--------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 03/08/02 |                |           |        |
| Typed or printed name   | Duane C. Basch | Signature |        |
|   |                | Date      | 3/8/02 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attachment to (PTO/SB/21) Transmittal Form (continued)

1. Certificate of Mailing  
Transmittal Form  
Transmittal of Information Disclosure Statement  
Copy of International Search Report  
Copy of Cited Reference (s)  
Return Postcard



PTO/SB92 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

## Certificate of Mailing under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

on MARCH 8, 2002  
Date

**RECEIVED**

**MAR 29 2002**

**Technology Center 2100**

Signature

Duane C. Basch, # 34,545

Typed or printed name of person of signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

The following papers listed below are submitted:

- Certificate of Mailing
- Transmittal Form
- Transmittal of Information Disclosure Statement
- Information Disclosure Statement
- Copy of International Search Report
- Copy of cited reference (s)
- Return Postcard

Burden Hour Statement: This form is estimated to take 0.03 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Practitioner's Docket No. :

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Application No.: 09/965,071

Confirmation No: 2718

Filed: 09/27/2001

For: "Computer-Based System and Method for Searching and Screening Financial Securities and Relevant Intellectual Property"



Group No.: 2171

Examiner:

COPY OF PAPERS  
ORIGINALLY FILED

Assistant Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. section 1.97(b))

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

1) The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

or

2) The Information Disclosure Statement submitted herewith contains information that was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. 37 C.F.R. section 1.97 (e) (1).

Date:

3/8/02

Duane C. Basch  
Registration No. 34,545  
Greenwald & Basch LLP  
Suite 2490  
349 West Commercial Street  
East Rochester, NY 14445  
US  
585-387-0280  
Customer No. 27157

RECEIVED

MAR 29 2002

Technology Center 2100

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date:

3/8/02

FACSIMILE

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Duane C. Basch

(type or print name of person certifying)



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|   |   |    |                          |                        |         |
|---|---|----|--------------------------|------------------------|---------|
| Substitute for form 1449A/PTO   |   |    | <b>Complete If Known</b> |                        |         |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |   |    | Applicati n Number       | 09/965.071             |         |
|   |   |    | Filing Date              | 09/27/2001             |         |
|   |   |    | First Named Inventor     | Terrance Sick          |         |
|   |   |    | Art Unit                 | 2171                   |         |
|   |   |    | Examiner Name            |                        |         |
| Sheet   | 1 | of | 1                        | Attorney Docket Number | 2000-05 |

| U.S. PATENT DOCUMENTS |                          |  |                                |  |   |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear   |
|                       |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       |                          | US-  |                                |  | <div>COPY OF PAPERS<br/>ORIGINAL FILED</div> <div>RECEIVED</div> <div>MAR 29 2002</div> <div>Technology Center 2100</div> |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |
|                       |                          | US-  |                                |  |   |

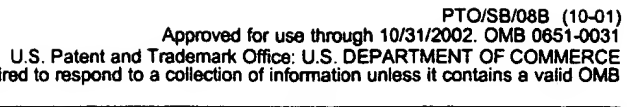
| FOREIGN PATENT DOCUMENTS |                          |   |                                |  |   |                |
|--------------------------|--------------------------|---|--------------------------------|--|---|----------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|                          |                          | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                          | 1                        | WO 00/33212   | 06-08-2000                     | XU et al.  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |
|                          |                          |   |                                |  |   |                |

|                       |                    |
|-----------------------|--------------------|
| Examiner<br>Signature | Date<br>Considered |
|-----------------------|--------------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

**Applicant Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.